



Strategic Investment Chico

INDEPENDENT FINANCIAL SERVICES

Date: ___/___/___

Primary			
Name/Identification			Home Address
First Name	Middle Initial	Last Name	Street
Social Security Number		Date of Birth	City State Zip
Number of Dependents			Phone
Driver License Number	State	Issue Date	Expiration date
Home Phone			Work/Cell Phone
Email Address			
Employer		Retired?	Employer Address (if not retired)
Employer Name (former if retired)		<input type="radio"/> Yes <input type="radio"/> No	Street
Occupation (former if retired)			City State Zip
Secondary			
Name/Identification			Home Address
First Name	Middle Initial	Last Name	Street
Social Security Number		Date of Birth	City State Zip
Number of Dependents			Phone
Driver License Number	State	Issue Date	Expiration date
Home Phone			Work/Cell Phone
Email Address			
Employer		Retired?	Employer Address
Employer Name (former if retired)		<input type="radio"/> Yes <input type="radio"/> No	Street
Occupation (former if retired)			City State Zip
Beneficiary Information (List additional beneficiaries on separate sheet of paper)			
Name (first, last)	Date of Birth	Social Security Number	Primary or Contingent?

Section II: Investment Objective

1.	Registration (IRA, Roth IRA, Trust, Individual, etc.):
2.	<p>Select the investment objective that most accurately reflects the goals for this account (choose only one)</p> <p>The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding at any time. Please note that achievement of the stated investment objectives is a long-term goal for the account.</p> <p><input type="radio"/> A. Income with Capital Preservation. Designed as a longer term accumulations account, this is the most conservative investment objective. Emphasis is placed on generation of current income and prevention of capital loss.</p> <p><input type="radio"/> B. Income with Moderate Growth. Emphasis is placed on generation of current income with a secondary focus on moderate capital.</p> <p><input type="radio"/> C. Growth with Income. Emphasis is placed on modest capital growth with some focus on generation of current income</p> <p><input type="radio"/> D. Growth. Emphasis is placed on achieving high long-term growth and capital appreciation. There is little focus on generation of current income.</p> <p><input type="radio"/> E. Aggressive Growth. Emphasis is placed on aggressive growth and maximum capital appreciation. No focus on generation of current income. This objective has a very high level of risk and is for investors with a longer time horizon.</p>

Section III: Financial Information and Experience

3.	<p>What is your total annual income?</p> <p><input type="radio"/> A. Less than \$25,000 <input type="radio"/> B. Between \$25,000 and \$49,999 <input type="radio"/> C. Between \$50,000 and \$99,999</p> <p><input type="radio"/> D. Between \$100,000 and \$249,999 <input type="radio"/> E. Between \$250,000 and \$499,999 <input type="radio"/> F. Between \$500,000 and \$749,999</p> <p><input type="radio"/> G. Between \$750,000 and \$999,999 <input type="radio"/> H. \$1,000,000 and over</p>														
4.	<p>What is your net worth? (exclusive of home)</p> <p><input type="radio"/> A. Less than \$25,000 <input type="radio"/> B. Between \$25,000 and \$49,999 <input type="radio"/> C. Between \$50,000 and \$99,999</p> <p><input type="radio"/> D. Between \$100,000 and \$249,999 <input type="radio"/> E. Between \$250,000 and \$499,999 <input type="radio"/> F. Between \$500,000 and \$749,999</p> <p><input type="radio"/> G. Between \$750,000 and \$999,999 <input type="radio"/> H. \$1,000,000 and over</p>														
5.	<p>What is your liquid net worth? (normally same as net worth minus real estate)</p> <p><input type="radio"/> A. Less than \$25,000 <input type="radio"/> B. Between \$25,000 and \$49,999 <input type="radio"/> C. Between \$50,000 and \$99,999</p> <p><input type="radio"/> D. Between \$100,000 and \$249,999 <input type="radio"/> E. Between \$250,000 and \$499,999 <input type="radio"/> F. Between \$500,000 and \$749,999</p> <p><input type="radio"/> G. Between \$750,000 and \$999,999 <input type="radio"/> H. \$1,000,000 and over</p>														
6.	<p>Approximate account value:</p> <p>A. Less than \$25,000 B. Between \$25,000 and \$49,999 C. Between \$50,000 and \$99,999</p> <p>D. Between \$100,000 and \$249,000 E. Between \$25,000 and \$499,999 F. \$500,000 and \$749,999</p> <p>G. Between \$750,000 and \$999,999 H. \$1,000,000 and over</p> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align:left;">Account</th> <th style="text-align:left;">Type</th> <th style="text-align:left;">Value</th> </tr> </thead> <tbody> <tr> <td>Account #1</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Account #2</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Account #3</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>			Account	Type	Value	Account #1	_____	_____	Account #2	_____	_____	Account #3	_____	_____
Account	Type	Value													
Account #1	_____	_____													
Account #2	_____	_____													
Account #3	_____	_____													
7.	<p>What is your federal tax bracket? _____% (10,15,25,28,33,35%)</p>	7b.	<p>Source of Wealth and Income (inheritance, employment salary, sale of real estate, etc.):</p>												
8.	<p>Investment Experience (number of years)</p> <p>_____ None _____ Stocks _____ Bonds _____ Mutual Funds</p> <p>_____ Annuities _____ Margin _____ Options</p>														
9.	<p>Please indicate percentage of assets exclusive of primary home (must equal 100%).</p> <p>1) Checking/Savings _____% 5) Annuities _____%</p> <p>2) Mutual Funds _____% 6) Insurance _____%</p> <p>3) Stocks _____% 7) Real Estate _____%</p> <p>4) Alternative Investments _____%</p>														
10.	<p>Investment Time Horizon and Liquidity Needs</p> <p>What is your investment time horizon for this account?</p> <p><input type="radio"/> A. 1-3 years <input type="radio"/> B. 3-5years <input type="radio"/> C. 5-10years <input type="radio"/> D. More than 10 years</p> <p>Do you have liquidity needs for these funds? <input type="radio"/> Yes <input type="radio"/> No</p> <p>➤ If yes, when do you need these funds? <input type="radio"/> 0-3 years <input type="radio"/> More than 3 years</p> <p>➤ If yes, specify the approximate dollar amount for the time range indicated above: \$_____</p>														